



Rev. 10/97  
Modified PTO 1083  
For Other Than A Small Entity

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Technology Center 2100

PATENTS

Attorney Docket No. CF/021 CON CPA

Applicant : Philip M. Ginsberg  
Application No. : 09/225,537 Confirmation No.: 2363  
Filed : January 4, 1999; CPA Filed July 31, 2000  
For : FIXED INCOME PORTFOLIO INDEX PROCESSOR  
Group Art Unit : 2164  
Examiner : Dr. Geoffrey Akers

Commissioner for Patents  
Washington, D.C. 20231

New York, New York  
February 20, 2001

TRANSMITTAL LETTER

Sir:

Transmitted herewith: ☐ a Preliminary Amendment;  
☐ a Reply to Office Action; ☐ a Supplemental Amendment;  
☐ a Declaration; ☒ Preliminary Amendment; ☐ formal drawings; to be  
filed in the above-identified patent application.

FEE FOR ADDITIONAL CLAIMS

- ☒ A fee for additional claims is not required.  
☐ A fee for additional claims is required.

The additional fee has been calculated as shown below:

	CLAIMS REMAINING AFTER AMENDMENT		HIGHEST NUMBER PREVIOUSLY PAID FOR		PRESENT EXTRA	RATE		ADD'L FEE DUE
TOTAL CLAIMS	15	-	20*	=	0	x	\$18	= \$ 0.00
INDEPENDENT CLAIMS	1	-	3**	=	0	x	\$80	= \$ 0.00
FIRST PRESENTATION OF A MULTIPLE DEPENDENT CLAIM							+ \$270	= \$ .00
							TOTAL	\$ 0.00

\* If less than 20, insert 20.

\*\* If less than 3, insert 3.

- ☐ A check in the amount of \$\_\_\_\_\_ in payment of the fee for additional claims is transmitted herewith.
- ☒ The Commissioner is hereby authorized to charge payment of any additional fees required under 37 C.F.R. § 1.16 in connection with the paper(s) transmitted herewith, or credit any overpayment of same, to Deposit Account No. 06-1075. A duplicate copy of this transmittal letter is transmitted herewith.
- ☐ Please charge \$\_\_\_\_\_ to Deposit Account No. 06-1075 in payment of the fee for additional claims. A duplicate copy of this transmittal letter is transmitted herewith.

EXTENSION FEE

- ☐ The following extension fee is applicable to the Response filed herewith: ☐ \$110.00 extension fee for response within first month pursuant to 37 C.F.R. § 1.136(a); ☐ \$390.00 extension fee for response within second month pursuant to 37 C.F.R. § 1.136(a); ☐ \$890.00 extension fee for response within third month pursuant to 37 C.F.R. § 1.136(a); ☐ \$1,390.00 extension fee for response within fourth month pursuant to 37 C.F.R. § 1.136(a); ☐ \$1,890.00 extension fee for response within fifth month pursuant to 37 C.F.R. § 1.136(a);
- ☐ A check in the amount of ☐ \$110.00 ☐ \$390.00 ☐ \$890.00 ☐ \$1,390.00 ☐ \$1,890.00 in payment of the extension fee is transmitted herewith.
- ☒ The Commissioner is hereby authorized to charge payment of any additional extension fees required under 37 C.F.R. § 1.17 in connection with the paper(s) transmitted herewith, or credit any overpayment of same, to Deposit Account No. 06-1075. A duplicate copy of this transmittal letter is transmitted herewith.
- ☐ Please charge the ☐ \$110.00 ☐ \$390.00 ☐ \$890.00 ☐ \$1,390.00 ☐ \$1,890.00 extension fee to Deposit Account No. 06-1075. A duplicate copy of this transmittal letter is transmitted herewith.

Respectfully submitted,



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APPLICATION NUMBER FILING/RECEIPT DATE

FIRST NAMED APPLICANT

ATTY. DOCKET NO./TITLE

09/225537



DATE MAILED:

RECEIVED

FEB 23 2001

Technology Center 2100

**NOTICE TO FILE MISSING PARTS OF APPLICATION (CPA)**  
**Filing Date Granted**

The Continued Prosecution Application (CPA) request filed on \_\_\_\_\_ is entitled to a filing date under 37 CFR 1.53(d)(1). The CPA request, however, lacks the filing fee(s) and/or items indicated below.

Applicant is given **TWO MONTHS FROM THE DATE OF THIS NOTICE** within which to file the fee(s), item(s), and any surcharge required below to avoid abandonment of this CPA. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

The total amount owed by applicant is the sum of items 1(a) or (b), 2, and 3 (if checked) below.

- ☒ 1. The statutory basic filing fee is:  
☒ missing.  
☐ insufficient.

(a) Applicant must submit \$ 690.00 to complete the basic filing fee and the \$130.00 surcharge set forth in 37 CFR 1.16(e) (non-small entity), or \$ 265.00 to complete the basic filing fee as a small entity and the \$65.00 surcharge set forth in 37 CFR 1.16(e) and file a small entity statement under 37 CFR 1.27 claiming such status (if the prior application was entitled to small entity status and such status is still proper and desired, a new small entity statement is not required (37 CFR 1.28)).

(b) Applicant must submit \$ \_\_\_\_\_ to complete the basic filing fee as a small entity and the \$65.00 surcharge set forth in 37 CFR 1.16(e).

- ☐ 2. Additional claim fees of  
\$ \_\_\_\_\_ (non-small entity) or \$ \_\_\_\_\_ (small entity) for \_\_\_\_\_ independent claims over 3.  
\$ \_\_\_\_\_ (non-small entity) or \$ \_\_\_\_\_ (small entity) for \_\_\_\_\_ claims over 20.  
\$ \_\_\_\_\_ (non-small entity) or \$ \_\_\_\_\_ (small entity) for multiple dependent claim surcharge.

Applicant must either submit the additional claim fees or cancel additional claims for which fees are due.

- ☐ 3. A \$50.00 processing fee is required since your check was returned without payment (37 CFR 1.21(m)).
- ☐ 4. The CPA request is unsigned. Applicant must file a signed duplicate or ratification of the CPA request.
- ☐ 5. Other: \_\_\_\_\_

**A copy of this Notice MUST be returned with the reply.**

Direct the reply and any questions about this Notice to:

Mr. Hall

Examining Group 2700

(703) 308-0081